

# STATE OF IOWA AFFIRMATIVE ACTION/DIVERSITY PLAN AND REPORT

## **Diversity Plan's Relationship to Affirmative Action**

Each department will submit by July 31<sup>st</sup> an Affirmative Action/Diversity Plan to DAS, who will receive it on behalf of the Diversity Council. This document is to report on your activities and accomplishments for FY 2008, and report on your intended activities for FY 2009.

For the purposes of this document, the term protected classes refers specifically to females, minorities, and persons with disabilities. Protected classes may be subject to numerical goal setting in employment. The term diversity includes the protected classes, but also includes broader differences, such as age, sexual orientation, and religion. These differences are not subject to numerical goal setting in employment, but may be protected by non-discrimination statutes and policies. Please refer to Executive Order Four and the State's EEO/AA Policy for more details.

## **Diversity Plan Content and Design**

*(The following AA/Diversity Plan and Report format is required; however additional material may be submitted or referenced.)*

### **I. Hiring and Promotion Practices**

You submitted a baseline of your current hiring and promotional practices to DAS in February 2008. DAS will be contacting you to address questions and seek clarification of your submission. You will not need to submit any additional information until these meetings take place over the next several weeks.

**AGENCY ACTION:** If you have made any changes to your hiring practices during FY 2008 since your February submission, please submit these changes as part of your FY 2008 AA/Diversity plan results. In addition, if you plan any changes in FY 2009 those may also be submitted.

## II. Recruitment and Retention Plan

**AGENCY ACTION:** Please fill in the text boxes in the template to describe any activities or initiatives you took in FY 2008 to address recruitment issues in your agency and your plans for FY 2009.

### Recruitment and Retention Plan Intent

Recruitment and Retention of a skilled, productive, and motivated workforce is critical to establishing and maintaining a culture of excellence. Department plans will reflect specific departmental skill and workforce makeup needs to reveal opportunities for attention and improvement. These plans are intended to document your efforts in creating a culture of excellence.

### Recruitment Plan

The purpose of the department's recruitment plan will be to position state government at all levels for success in finding, acquiring, retaining and promoting quality talent.

The primary components of the recruitment portion of the template include:

- Organizational Strategies
- Analysis of Factors Affecting Recruitment
- Sourcing Activities and Tools
- Other Recruitment Management Methods
- Milestones and Time Tables

### Organizational Strategy

*Improving diversity will help us advance our long term strategic objectives and business goals in the following manner:*

The Vision of the Iowa Department of Revenue is to be recognized as a department employing a well-trained work force that in a fair and respectful manner provides responsive and accurate services that enable all customers to comply with Iowa's tax laws. One of the Department's guiding principles in the area of customer focus is to encourage collaboration and partnership with our internal and external customers. Having a diverse work force, helps the Department better understand and address the needs of a diverse, multicultural population. It will help the Department communicate with our customers. Having a diverse workforce will enable the Department to attract the most qualified candidates to our organization who will help the Department attain its goals. This enables the Department to meet our goal of creating an environment of collaboration and partnership in order to improve voluntary compliance with Iowa's tax system.

*The overall organizational strategy for recruitment in my department for FY 2008 and changes for 2009 will include the following:*

FY 2008 Our Affirmative Action Plan strategies included continuing succession planning and recruitment activities giving consideration to AA goals. Based on the projected retirement survey of employees, the Department created a couple of positions to address identified succession planning needs. The Department's recruitment coordinator joined the State Strategic Recruitment Committee which meets monthly. The recruitment coordinator also participated on a Recruitment Kaizen project team and continues involvement with follow-up activities. The AA plan included a goal of 50% of supervisory staff attending Diversity training. Since this is being provided through DAS, 100% will have attended in FY09. However, we had nineteen non-supervisory employees attend Diversity training in FY08. During FY08, the Department was pleased with our increase in the number of females employed in the Department by 19 or 1.47%. The number of minorities was increased by 10 or 2.20%. We did experience a decline of one person with disabilities.

FY 2009 The Department is committed to fostering a welcoming environment inclusive in its understanding and integration across multiple dimensions of diversity to allow employees to maximize their potential, productivity and job satisfaction. This includes but is not limited to: providing Diversity training to employees and supervisors; continuing to ensure ADA accommodations and interpretation services are provided to our applicants, employees and customers when requested; continuing to have hiring supervisors work with Internal Services to expand affirmative recruiting strategies depending on the nature, level and location of the vacancy and reviewing selection decisions prior to hiring offers; continuing use of an annual employee satisfaction survey and addressing problem areas identified; continuing use of a workforce planning survey allowing employees to voluntarily identify projected retirement dates; revising the exit interview forms to identify if any employees are leaving due to perceived insensitivity to diversity issues and continuing involvement with the State Strategic Recruitment Committee and the Kaizen recruitment project.

*Describe how managerial staff is assigned or otherwise allocated to the recruitment function. Please list what levels of management are involved in the recruitment function:*

FY 2008 Upon approval from the Department Director or Management Liaison to fill positions, supervisors update the position description and discuss with a member of the Department's Employee Resource Team appropriate recruitment plans to advertise and recruit for each position. Generally, interview panels consisting of hiring supervisors and program managers develop screening tools and score the resumes; determine who to interview; develop interview questions and interview scoring sheets; conduct the interviews and make selection decisions based on the interview scoring sheet. If the position was underutilized, selection decisions were discussed and approved by the Department Director or Management Liaison prior to hiring offers being extended.

FY 2009 Upon approval from the Department Director or Management Liaison to fill positions, supervisors update the position description and discuss with a member of the Department's Employee Resource Team appropriate recruitment plans to advertise and recruit for each position. All applicant screening and interviews will be conducted by interview teams consisting of hiring supervisors and program managers. All selection decisions will be reviewed with the Management Liaison or Director prior to hiring offers being extended.

*The name and contact information of a primary recruitment contact for usage by DAS is:*

Karen Cram; Karen.cram@iowa.gov      phone 515 281-5045 fax 515 242-6040

### **Analysis of Factors Affecting Recruitment**

*Based on known or projected staffing needs for FY 2009, please provide an estimate of the number of vacancies you plan to fill in FY 2009. (Note: this is for general information only and not intended to replace the affirmative action analysis and goal setting for FY 2009):*

39 full-time positions

*Of the total number of positions to be filled, the following job classes have been identified as difficult to fill based on previous experience:*

Information Technology classes

*Of the total number of positions to be filled, the following job classes have been identified as high turnover:*

None

*Of the difficult to fill and high turnover job classes, list recruitment barriers experienced by job class:*

Each one of the Information Technology positions has very unique, specific knowledge and skills required to fill the individual position. Many times candidates will have accepted other employment opportunities before we can complete the hiring process or we cannot compete with the salary offers they receive from other organizations.

*Of the difficult to fill and high turnover job classes, those which are typically underutilized for protected classes (females, minorities, or persons with disabilities) are:*

None

*List the barriers that have been identified in recruitment of the protected classes:*

Applicant pools sometimes fail to have top-notch protected class applicants from which to select. Job classes with the greatest underutilization are the same job classes that often have low turnover so there are few opportunities to correct underutilization.

*The following methods and activities are planned to deal with recruitment barriers in FY 2009:*

We plan to attend more career fairs and determine additional recruitment sources for posting position announcements that will be more likely to be accessed by protected class applicants. This will increase awareness about open positions in the Department and increase utilization of these recruitment sources.

## **Sourcing Activities and Tools**

*In FY 2008 we attended the following career fairs, networking events, and community events:*

Iowa Workforce Development Job Expo, Two Des Moines area career fairs, I'll Make Me a World in Iowa Event, Juneteenth Observance, Asian Heritage Festival

*In FY 2009, we plan to attend the following career fairs, networking events, and community events:*

In addition to the events we attended in FY08, the Department is committed to attending additional career fairs including U of Iowa, Iowa State and Drake Career Fairs. As the Department becomes aware of other career fairs and community events through contacts with DAS and participation on the state recruitment committee, the Department may further expand the number of fairs and events attended.

Besides the DAS BrassRing applicant tracking system, we use (or plan to use in FY 2009) the following sourcing tools

:

<b>Tool</b>	<b>FY 2008</b>	<b>Budget Est.</b>	<b>FY 2009</b>	<b>Budget Est.</b>
<b>Internet Job Postings</b>	*billed by newspaper ad	*included in newspaper ad	*	included in newspaper ad
<b>Resume Search Products</b>	Text Box	Text Box	Text Box	Text Box
<b>Standard News Print</b>	\$25,500Text Box	\$40,032		\$44,500
<b>Specialty Trade Journals</b>	Text Box	Text Box	Text Box	Text Box
<b>Radio</b>	Text Box	Text Box	Text Box	Text Box
<b>TV</b>	Text Box	Text Box	Text Box	Text Box
<b>Open House</b>	Text Box	Text Box	Text Box	Text Box
<b>Search Firms</b>	Text Box	Text Box	Text Box	Text Box
<b>Temporary Staffing</b>	Text Box	Text Box	Text Box	Text Box

*Other (please list):*

Law school and college placement postings placed on their internet job listings; JOB website; announcements placed on the Department's own website and e-mails to all Department employees; and ads placed with the Bar Association, CPA Society and Iowa Assessor's Association as appropriate for the vacancy.

*Identify which of these sourcing tools; either individually or in combination, are most effective in your experience:*

Excluding the Information Technology positions, the Department generally has large numbers of applicants for most positions. For example, the Revenue Examiner 1 certificate, which is the classification with the largest number of hires annually, commonly has sixty to eighty applicants. The Department has no measurement tools in place to determine which recruitment sites are most effective.

## Other Recruitment Management Methods

*In FY 2008, we recruited passive candidates in the following manner (passive candidates are those not actively seeking employment):*

Department employees do presentations for a wide variety of public groups, schools and professional organizations which provides some exposure to the Department for candidates not actively seeking employment.

*Does your agency use interns? If so, please describe your process for recruiting, such as posting to your website or DAS, hiring as temporary, use of Americorps, etc.:*

Yes. Internships are posted with specific colleges for specific majors. For example, legal internships are posted at Drake Law School so applicants can work part-time during the school year. The Department has an arrangement with Iowa State creating internships for economic majors and/or grad students. This year a DMACC accounting specialist held an internship with the Department.

*Please indicate whether you utilize temporary employment services to provide potential candidates for permanent hire, and if so the process you follow:*

No. However, some applicants hired were working in the Department under professional service contracts for other employers.

*Describe how you handle, track, or otherwise process unsolicited resumes. Indicate if/how you share these within your agency or with other agencies:*

Applicants for permanent positions who send resumes that are not for specific open positions are sent letters or e-mails referring the individual to the DAS website because all Department positions are posted on the DAS website. Applicants seeking temporary tax season positions are held and contacted during the next tax season as openings are identified.

## Milestones and Timetables

*Summarize your FY 2008 recruitment milestones and identify opportunities for improvement:*

Job training opportunities for employees greatly expanded by the establishment of a new Departmental Professional Development I and II series and the Supervisory Development series created in FY 2008. The Professional Development II series had 18 employees enrolled the first year in a curriculum that includes required courses in valuing diversity, ethics, conflict resolution, communication enhancement, presentation skills and developing a customer focused organization along with elective courses. The classes are taken over a three year period. New employee orientation was expanded to include a class on valuing diversity in the workplace,

customer service and dimensions of behavior. The Department again selected three employees for the Certified Public Managers program. These employees are mentored by the Department Director through monthly meetings. Job postings are now placed on the Department's website. The Department's recruitment coordinator participated in a recruitment Kaizen project and became involved in the State Strategic Recruitment Committee. Department employees volunteered to represent the Department at various community events. In FY08 the Department spent \$67,080 on training and tuition reimbursement.

*For FY 2009, provide a timetable for those activities you plan to implement:*

The Department has selected a workforce planning team that will be attending training in October 2008 and completing a Department workforce plan. Diversity training for all supervisors will be completed by December 2008. Whenever DAS develops a diversity class for all employees, the Department will register employees for the training. The Department will continue to offer employees an opportunity to apply for the Department's Professional Development and Supervisory Development programs, tuition assistance and the Certified Public Managers program. The Department will continue to advertise positions and attend additional career fairs throughout the year to increase the diversity of the applicant pool. The recruitment coordinator will work with DAS to identify some additional protected class recruitment resources.



## Retention Plan

The purpose of the department's retention plan is to retain and promote diverse and qualified talent.

The primary components of the retention portion of the template include:

- Analysis of Factors Affecting Retention in three areas – FY 2008
  - Turnover
  - Promotions
  - Employee Engagement
- Plans to Improve – FY 2009
- Self assessment

### Analysis of Factors Affecting Retention – FY 2008

The following sections are intended to obtain your analysis of the following factors affecting your workforce.

#### Turnover

*From a retention perspective, the following job classes present the greatest challenge:*

Turnover in all classes is very low.

*List the issues you have identified that contribute to the turnover in these classes:*

Of the 21 individuals who left Revenue last year, 14 were retirements, 3 deaths and 1 due to long term disability. Thus only 3 of the Departments 385 employees quit for other jobs.

*Check the methods you use to identify turnover factors (check all that apply):*

☒ Exit interviews

*Describe how these are conducted:*

Exit interview forms are sent on-line to Department employees on their last day. Employees complete the survey and return the survey to the Employee Resource Team.

☒ Workforce surveys (employee engagement, satisfaction)

*Describe how these are conducted:*

In October of each year, an employee satisfaction survey is sent on-line to all employees. This basic survey has been used since 2004 so that results collected reflect progress on increasing those categories scoring lowest as well as assuring that those categories with the higher scores maintain their higher scores. Results are compiled and sent to employees.

☒ Management team meetings/exercises

*Describe how these are conducted:*

The Department holds semi-annual meetings with all managers and supervisors. Diversity updates will be part of the agenda at these meetings. This will provide an opportunity for discussions of successes, resolution of issues, and sharing of ideas.

☒ Other methods (please describe):

Managers and supervisors will be tasked to be recruiters for the department as they attend and make presentations at meetings and conferences. We will make sure all supervisors and managers have information to provide potential employees on how to access employment opportunities with the department and state government.

## **Promotions**

*Identify some of the most critical competencies you perceive to be most lacking in your organization. This may include any particular knowledge, ability, or skill, or personal trait:*

Improved writing skills has been one competency that the Department began addressing this year. Employees in several work units attended a Plain Talk writing program and are now working on improving letters commonly sent out from their work unit. We have created an internal class on Plain Talk to broaden the number of people exposed and trained on the program.

*Which of these same competencies are most likely to affect a decision in your organization to open a vacancy to the general public rather than as a promotional opportunity:*

Most positions are posted for everyone including Department employees to apply. Usually only positions like the Revenue Agent 3, Revenue Examiner 3 and 4, and Revenue Auditor 3 positions are restricted to Department employees only because the skills to perform these positions including review of work products produced by employees in the 1 and 2 levels of the job classifications is usually acquired by work experience in the Department.

*Identify barriers to promotional opportunities for internal employees, such as lack of education, infrequency of suitable vacancies, geographic location, etc. :*

The lack of education reduces some movement from clerical to professional job classes

*Indicate if and how these barriers differ for protected class employees (females, minorities, persons with disabilities):*

We do not think these barriers are different for protected class employees.

## Employee Engagement

*Describe any activities or methods (such as surveys or interviews) your department uses to measure the engagement of your employees with your organization:*

An annual employee satisfaction survey is conducted each October.

*Identify what topics you address:*

- ☒ *Understanding of the organization's vision and mission*
- ☒ *Managerial approachability and style*
- ☒ *Job satisfaction*
- ☐ *Cultural inclusion*
- ☒ *Flow of and access to information*
- ☒ *Career progression awareness*
- ☒ *Work/life balance*
- ☐ *Other - Text Box*

*Employees would rate the department's effectiveness in communicating the support, programs and promotional opportunities available to them as:*

☒ *Good* ☐ *Needing Improvement* ☐ *Unknown*

*Describe the employee communication methods used to make employees aware of the support, programs, and promotional opportunities available to them:*

All employees receive an e-mail every time a position is posted on the DAS website. Employees are referred to the Employee Resource Team members for questions about state employment and for assistance with resumes and for employee benefit questions. Employees meet with the Employee Resource Team on their first day on employment. The Employee Handbook and benefit handbook is reviewed with all new employees. The Internal Services Division Administrator e-mails all employees a weekly news letter with updates of changes to programs.

*Describe any changes you plan to make around employee engagement in FY 2009:*

The Department's senior management team reviews results of the October Employee Satisfaction survey and sets goals in areas that receive low scores.

## Plans to Improve – FY 2009

*Check all programs you will implement in FY 2009 and describe how you see the program improving retention in your workforce for FY2009:*

☒ *Orientation and On-boarding:*

Changes are made based on feedback from employees attending new employee orientation and new employee training sessions during the first six months of employment. We will continue to review feedback as more new employees complete the additional training classes required for all new employees. We have expanded our new employee training and orientation to provide a more in-depth introduction to the functions of each of the divisions of the Department.

☒ *Training and educational opportunities to support business needs and employee competencies to enhance promotional potential:*

Feedback from employees completing the Certified Public Manager Program and the Department's Professional Development Programs will continue to be reviewed to identify improvements that are needed.

☒ *Workplace accessibility (visual, physical):*

The Department has employees on staff in the Internal Services Division who are available to make adjustments to offices to meet any accommodations an employee might need. We would also provide any Information Technology accommodations needed for staff. We provide interpreters as needed for our hearing impaired employees. We have a number of staff who are multi-lingual who can assist applicants who may have language barriers.

☒ *Mentoring:*

The Director mentors employees enrolled in the Certified Public Managers Program through monthly meetings to discuss their activities and progress. All new agents and auditors are assigned to an Agent 3 or Auditor 3 to assist with their training and development and to help them get started on a successful path with the Department.

☒ *Awards and Recognition:*

The Department has a monthly service awards program. The State has an annual Golden Dome Award program. The Director individually recognizes the achievements of employees; particularly when a letter of acknowledgement is received from a taxpayer about exceptional customer service. The Department will continue to seek additional informal award programs.

### III. Diversity Training

**AGENCY ACTION:** Please provide information about diversity related training provided in FY 2008. This will be used to report FY 2008 training activities for the FY 2008 affirmative action plan year.

The Department had nineteen employees who took one of the PDS Diversity Training classes this year. The Department of Revenue's new Professional Development 1 and II programs and the Supervisory Development series requires all employees enrolled in the programs to take a Valuing Diversity class. During FY 2008 the Department's new employee orientation program was expanded to require enrollment in a diversity class along with a couple of other classes. The recruitment coordinator attended a two day Diversity conference and workshop.

Provide information about diversity-related training planned for FY 2009 in the text box.

All employees will be involved in the mandatory diversity training. Employees currently enrolled in the Professional and Supervisory Development programs as well as those employees selected for these programs in FY09 will complete the required PDS Diversity class. All new employees as part of the expanded orientation program will attend a designated PDS diversity class. The recruitment coordinator will attend a Diversity conference.

**Note:** Mandatory diversity training will be provided to both management and employees in FY 2009. However, include in your plan and report any other training you are planning or have done.

## IV. Workforce Composition and Hiring Opportunities

**AGENCY ACTION:** The goal setting data to address underutilization of protected class members in underutilized job categories will be sent to you for action separately in late July as mentioned earlier in this document. This data won't be available until after the end of the fiscal year. Therefore you will not need to submit your hiring goals with this document.

We will continue to address numerical underutilization through the normal quantitative affirmative action process as you have done in the past:

- DAS will provide your agency with your department's workforce composition, average turnover, and underutilization by job class.
- Your agency will review this data and establish hiring goals for FY 2009.
- Hiring lists issued by DAS will continue to identify protected class members if the job class is underutilized. How this list is handled should be addressed in your hiring practices and procedures (Item I., above).
- DAS will calculate your year end FY 2008 protected class hiring progress.
- Your hiring progress in FY 2008 and hiring goals for FY 2009 will be incorporated into the AA/Diversity Plan Annual Report to the IGOV and Legislature, due by September 30, 2008.

You also receive periodic hiring opportunity reports that remind you of the vacancies that are currently in process for your department

As a general measure of diversity in state government, a current workforce composition report (April 17, 2008) comparing your department to the executive branch overall is provided. Please use this as needed.

## V. Efforts of the Agency to Encourage and Celebrate Diversity

**AGENCY ACTION:** Please fill in the following text boxes for each question. This will constitute your plan for FY 2009 to encourage and celebrate diversity. Also report any FY 2008 activities.

*Describe how the success of your diversity efforts advances your department's long-term strategic objectives and business goals.*

The Vision of the Iowa Department of Revenue is to be recognized as a department employing a well-trained work force that in a fair and respectful manner provides responsive and accurate services that enable all customers to comply with Iowa's tax laws. One of the Department's guiding principles in the area of customer focus is to encourage collaboration and partnership with our internal and external customers. Having a diverse work force, helps the Department better understand and address the needs of a diverse, multicultural population and better communicate with our customers to gain their collaboration. This enables the Department to meet our goal of creating an environment of collaboration and partnership in order to improve voluntary compliance with Iowa's tax system.

*Describe how your managers and supervisors will be involved in diversity.*

The managers and supervisors will be accountable for providing opportunities for all employees to work in a non-discriminatory environment that values each person's unique contributions. They will take a diversity class and assist in getting their employees registered for a Diversity class. Managers and supervisors will assist in identifying additional recruitment resources, ensure that resume reviewing, interviewing and hiring processes are conducted in a non-discriminatory manner, hire and retain employees of diverse backgrounds, facilitate communication within their unit when diversity differences are creating a barrier to effective work relationships and mediate conflicts between employees and identify and acquire accommodations that may be needed for the safety or increased work productivity of employees with disabilities in the unit. A monthly lunch and learn with the Director will be established for supervisors to work through the exercises in the Diversity Activities Guide.

*Executive Order 4 establishes the goal to be inclusive of employees with differences in age, race, creed, color, sex, sexual orientation, gender identity, national origin, religion, and disability. Describe the methods and activities you plan to initiate in FY 2009 to broaden inclusiveness for all these groups.*

The Department will arrange for some Lunch and Learn sessions and photo exhibits by employees of different national origins to provide all employees opportunities to learn about other cultures. We will review the make-up of work teams created for special projects for inclusiveness of all employees. We will continue to send out to all employees the new employee "Welcome Board" with photos of new staff so they can be greeted and welcomed into the Department. All new employees are welcomed into the Department by the Director.